



## Risk Assessment

Fiscal Years 2007-08 and 2008-09

**Auditable Areas and Audit Coverage - Support Programs**

<b>Auditable Areas</b>	<b>Actual</b>			<b>Planned</b>	
	<b>2004-05</b>	<b>2005-06</b>	<b>2006-07</b>	<b>2007-08</b>	<b>2008-09</b>
<b>Diversity Outreach Program</b>					
Annual workforce					
Bilingual survey					
Business connections					
Diversity program					
Equal employment opportunity investigations					
<b>Office of Enterprise Compliance</b>					
Investment monitoring					
Health					
Retirement					
<b>Fiscal Services Division</b>					
Administrative accounting					
Annual financial statement audit/other attestation					
Budget management					
Cashiering					
Directed brokerage and commission recapture					
Enterprise Management of Billing, Accounts Receivables and Collections (EMBARC)					
Fund accounting					
Investment accounting					
Pension System Resumption (PSR) project					
PeopleSoft financial system					
PERF reserve reconciliation					
Prefunding plan for health plans					
Prime broker					
Real estate accounting					
Retirement program accounting					
Review and analysis of CalPERS financial statements					
<b>Office of Governmental Affairs</b>					
Legislation implementation and tracking					
<b>Human Resources Division</b>					
Benefits and enrollments					
Classification and review process					



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Employee relations					
Executive performance/compensation					
Payroll and personnel transactions					
Recruitment and exams					
Staff training and development					
<b>Information Security Office</b>					
Acquisition and maintenance of technology infrastructure					
Information system security and confidentiality acknowledgement compliance					
IT security risk analysis and management (SAM 4842)					
Logical safeguard					
Physical safeguard					
System security & technical safeguards of electronic confidential information					
<b>Information Technology Services Branch</b>					
Acquisition and maintenance of application software					
Change control management					
Computer operations management review					
Configuration management					
Data management					
Identity and access management					
Inquiries, incident, and problem management					
IT cost identification and allocation					
IT resource procurement					
Management of continuous services (disaster recovery)					
Management of third party services					
Pension System Resumption (PSR) project					
Release management					
Service level management					
Software management (SAM 4846)					
System architecture management					
System documentation and operational manual					



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System performance and capacity management					
System security review					
User training and education					
<b>Legal Office</b>					
Legal fees for outside counsel					
<b>Office of Audit Services</b>					
Continuous monitoring initiative					
Financial Integrity and State Manager's Accountability (FISMA)					
Fraud risk assessment initiative					
<b>Operations Support Services Division</b>					
Board election management					
Business continuity					
Central receiving					
Document distribution					
Facilities management					
Management services					
Property management					
Record management					
Reproduction services					
Space planning/headquarters move					
Triennial review of contract and purchasing activities					
<b>Office of Public Affairs</b>					
Comprehensive Annual Financial Report consolidation					
<b>R Street Project</b>					
Contract audit - Headquarter expansion project - consulting services					
Headquarters expansion project - activation and occupancy					
<b>Strategic Management Services Division</b>					
Enterprise transition management					